

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF VOCATIONAL REHABILITATION
INDEPENDENT LIVING PROGRAM
FIELD OFFICES**

Program Records Retention and Disposition Schedule

The Program Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

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do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. **Public records including electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed.**

The

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agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED



Anna Wasdell, Chief Records Officer
Department of Health and Human Services



Jimmy Chappell, Records Officer
Division of Vocational Rehabilitation

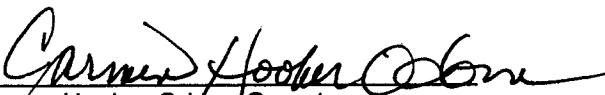


George McCoy, Director
Division of Vocational Rehabilitation

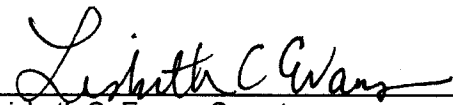


Jeffrey J. Crow, Deputy Secretary
Office of Archives and History

APPROVED



Carmen Hooker Odom, Secretary
Department of Health and Human Services



Lisbeth C. Evans, Secretary
Department of Cultural Resources

November 5, 2003

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Item 46838. CLIENT FILE. Records in paper and electronic formats concerning Independent Living program clients. File includes clients' applications, financial forms, service authorizations, case progress records, plan-of-service for clients, annual progress reviews, consent forms, bid requests, evaluations of clients' needs, verification of income, and other related records. (File maintenance and backup procedures conducted by LAN administrator.) (Comply with applicable provisions of Federal Code 361.38 regarding confidentiality of clients' records in the possession of the Division of Vocational Rehabilitation.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 3 years following date of submission of the final expenditure report for the period to which the record pertains. If any litigation, claim, negotiation, audit, or other official action involving the records has been initiated before the end of the three-year period, the records shall be retained until all the issues are resolved, or until the end of the regular three-year period whichever is later. Destroy in office paper and electronic records only after receiving authorization from the Department of Health and Human Services, Office of the Controller.

Item 46839. ATTENDANT CARE FILE. Records concerning case situations where the Independent Living Program is paying for someone to enter the clients' homes and assist clients with personal care. File includes attendants' time sheets, agreements for reimbursements to clients, case service invoices, receipts of funds by personal care workers, and other related records. (Comply with applicable provisions of Federal Code 361.38 regarding confidentiality of clients' records in the possession of the Division of Vocational Rehabilitation.)

DISPOSITION INSTRUCTIONS: Destroy in office 3 years following date of submission of the final expenditure report for the period to which the record pertains. If any litigation, claim, negotiation, audit, or other official action involving the records has been initiated before the end of the three-year period, the records shall be retained until all the issues are resolved, or until the end of the regular three-year period whichever is later. Destroy in office only after receiving authorization from the Department of Health and Human Services, Office of the Controller.

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Item 46840. IN-HOUSE LISTING OF CLIENT STATUS CODES FILE. Records in paper and electronic formats concerning cases in Operation Management System reporting. File includes number of people interviewed, activated, closed, in post closure, and number of people in post closure termination. (File maintenance and backup procedures conducted by LAN administrator.) (Comply with applicable provisions of Federal Code 361.38 regarding confidentiality of clients' records in the possession of the Division of Vocational Rehabilitation.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 3 years following date of submission of the final expenditure report for the period to which the record pertains. If any litigation, claim, negotiation, audit, or other official action involving the records has been initiated before the end of the three-year period, the records shall be retained until all the issues are resolved, or until the end of the regular three-year period whichever is later. Destroy in office paper and electronic records only after receiving authorization from the Department of Health and Human Services, Office of the Controller.

Item 46841. NEEDS LIST FILE. Records concerning clients who are in need of funding. File includes client numbers, client identifications, client disabilities, services needed, estimated costs of services, county and counselor codes, and other related records. (Comply with applicable provisions of Federal Code 361.38 regarding confidentiality of clients' records in the possession of the Division of Vocational Rehabilitation.)

DISPOSITION INSTRUCTIONS: Destroy in office 3 years following date of submission of the final expenditure report for the period to which the record pertains. If any litigation, claim, negotiation, audit, or other official action involving the records has been initiated before the end of the three-year period, the records shall be retained until all the issues are resolved, or until the end of the regular three-year period whichever is later. Destroy in office only after receiving authorization from the Department of Health and Human Services, Office of the Controller.

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Item 46842. AUTHORIZATION REGISTER FILE. Records in paper and electronic formats concerning clients' authorizations and money spent on clients. (File maintenance and backup procedures conducted by LAN administrator.) (Comply with applicable provisions of Federal Code 361.38 regarding confidentiality of clients' records in the possession of the Division of Vocational Rehabilitation.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 3 years following date of submission of the final expenditure report for the period to which the record pertains. If any litigation, claim, negotiation, audit, or other official action involving the records has been initiated before the end of the three-year period, the records shall be retained until all the issues are resolved, or until the end of the regular three-year period whichever is later. Destroy in office paper and electronic records only after receiving authorization from the Department of Health and Human Services, Office of the Controller.

Item 46843. UNIT OF PROGRESS REPORT OF STATISTICAL DATA FILE. Records in paper and electronic formats concerning statistical and budget activity for the month. File includes changes made in status of cases, budget information for entire office, and travel budgets. (File maintenance and backup procedures conducted by LAN administrator.) (Comply with applicable provisions of Federal Code 361.38 regarding confidentiality of clients' records in the possession of the Division of Vocational Rehabilitation.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 3 years following date of submission of the final expenditure report for the period to which the record pertains. If any litigation, claim, negotiation, audit, or other official action involving the records has been initiated before the end of the three-year period, the records shall be retained until all issues are resolved, or until the end of the regular three-year period whichever is later. Destroy in office paper and electronic records only after receiving authorization from the Department of Health and Human Services, Office of the Controller.

Item 46844. CLIENT INFORMATION FORMS (CIF) FILE. Records concerning information on clients in need of Independent Living Program evaluations. File includes clients' names, Independent Living numbers, and code names for Independent Living Program centers.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years following date of submission of the final expenditure report for the period to which the record pertains. If any litigation, claim, negotiation, audit, or other official action involving the records has been initiated before the end of the three-year period, the records shall be retained until all the issues are resolved, or until the end of the regular three-year period whichever is later. Destroy in office only after receiving authorization from the Department of Health and Human Services, Office of the Controller.

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Item 46845. OPEN AUTHORIZATIONS FILE. Records in paper and electronic formats concerning authorizations for payments that have been initiated but have not been paid in full. (File maintenance and backup procedures conducted by LAN administrator.) (Comply with applicable provisions of Federal Code 361.38 regarding confidentiality of clients' records in the possession of the Division of Vocational Rehabilitation.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 2 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.